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ABSTRACT

The American Management Association examined the feasibility of improving the effectiveness of educational institutions through business management principles. Target systems were the State Agency Executive Staff, the State Agency Division of Program Services, and two local districts each in Maryland and North Carolina. Each management team from the eight organizations was directed to apply business management principles to the management of their respective organizations. Some of the major difficulties encountered were the absence of a clearly defined decisionmaking process, excessive limitations on managerial discretion, and a propensity to state objectives in terms of processes rather than results. However, in each case, a commitment was made to longrange student-oriented objectives, the organizational structure was redesigned, the responsibilities were shifted to bring about accountability, and all participants gained new insights into their leadership responsibilities. Related documents are EA 004 142-146. (RA)

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Final Report

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ADAPTING AND TESTING BUSINESS MANAGEMENT DEVELOPMENT PROGRAMS FOR EDUCATIONAL ADMINISTRATORS

Volume 1 of 6 Volumes

January 1972

U. S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

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Raymond E. Klawuhn
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American Management Association
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Hamilton, New York

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U.S. DEPARTMENT OF
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ABSTRACT

The American Management Association examined the feasibility of improving the effectiveness of educational institutions through business management principles. Target systems were the State Agency Executive Staff, the State Agency Division of Program Services and two local districts in each of Maryland and North Carolina.

Management teams in each of the eight organizations were initially schooled in the principles of business management. Each organization was subsequently directed in applying these principles to the management of their respective organizations through the development of a comprehensive plan.

Major difficulties were: the absence of a clearly defined process for arriving at major decisions; excessive de facto limitations on the amount of discretion any manager is allowed to exercise; and a propensity to state objectives in terms of process rather than results.

It can be said, though, that: in every case, a commitment was made to long range, student oriented objectives which differ from those existing at the beginning of the project; in every case, development of the plan resulted in major redesign of the organization; and in every case responsibilities were assigned in such a way as to provide accountability for results. Participants also gained a new perspective on their leadership responsibility. In varying degrees, this perspective took the form of adopting a self concept as a manager rather than an educator.

Inasmuch as effectiveness is a function of the results achieved for the resources consumed, any final judgment as to the adaptability of business management principles to education must be reserved until a comparison of past results with future results as expressed in each institution's plan is possible.

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CHAPTER I

INTRODUCTION

It has long been an axiom in the business and industrial sectors that there existed certain managerial skills and techniques which were separable from the particular technical or specialized knowledge required to effectively manage a business or industrial enterprise. Scholars and practioners alike agree that application of these managerial skills and techniques are essential for the ultimate success of any organization or institution: profit or non-profit, private or public, non-government or government-owned.

There is serious concern, and some disagreement, as to the qualities, characteristics and training required which coalesce to produce a professional and effective manager. One point, however, is beyond dispute: all too frequently the individual who is promoted into managerial positions has not had the advantage of training in managerial concepts, skills and techniques, or their application. It is generally conceded that scientific, technical, or professional people are usually placed in managerial positions solely on the basis of excellence of past performance; seldom is there any attempt to ensure that appropriate training or experience in management is part of one's qualifications. It is small wonder that many of these individuals flounder, and frequently fail, in the exercise of their managerial responsibilities.

A basic mission of the American Management Association has been to develop and implement programs to enhance the managerial

effectiveness of individuals in business and industry. Based upon the conviction that managerial effectiveness is as serious a concern in educational organizations as in business and industrial organizations, the AMA devoted substantial resources to an investigation of the management problems of local and regional education agencies, and to institutions of high education. The conclusions drawn from these investigations were as follows:

1. The management problems facing educational agencies and institutions are analogous to those facing business and industrial enterprises.
2. The management skills and techniques practiced by business and industrial enterprises could be modified and effectively applied by managers of educational agencies.
3. The management and organizational development programs of the AMA could be modified and adapted to the particular requirements of educational managers, thus enhancing the management of educational agencies and institutions.

Management Problems in Education

In educational organizations, administration is generally equated with logistics and maintenance of facilities, and managerial functions have unfortunately been equated with administration. This is in basic contradiction to the concept of management prevalent in business and industrial organizations, wherein "management" is concerned with decision-making in planning, organizational development, coordination and communication, motivation and supervision. These functions become

appreciated in the context of the following definition: management is the achievement of results through the effort of others.

Within this framework, the following educational management problems have been identified:

1. Decision-making processes.--Planning capabilities and explicit, revisable plans which are based upon the involvement and commitment of all levels of administrators are lacking in almost all school systems and organizations. The organizational design for an effective planning and decision-making base is either vague or absent, resulting in a decision-making process devoid of guidelines.
2. Organizational structure.--The respective responsibilities of boards of education, superintendents, principals and staff specialists are only vaguely defined in their position descriptions, and identification of acceptable standards of performance are lacking. The resulting diffusion of authority and responsibility leads to an inability of the institution to shape and to control effectively its direction for change.
3. Converting education theory into practice.--What is theoretically possible and empirically tested too often remains untranslated into general practice.
4. Integrated planning.--Various agencies and levels of education within the same system function in isolation. Any planning which occurs does not take cognizance of the planning of other related agencies: planning is not

integrated. Strategies for achieving objectives are frequently mistaken for objectives; tactics become ends or goals in and of themselves; short-term peripheral programs are erroneously accepted as satisfactory end results in the change process.

5. Educational objectives.--Realistic, measurable objectives appear to be non-existent in many educational agencies, and when defined they are frequently vague, not explicit, and unmeasurable.

Scope of the Project

The AMA's programs are designed to enhance organizational effectiveness through development of individual managers; and a variety of learning situations have been created. These vary as to number of participants, homogeneity or heterogeneity of the group, and their structured or semi-structured nature. The programs selected for implementation in this project will be described in a subsequent section of this report. It is appropriate at this juncture to comment upon the basic premise underlying this project.

Changes in patterns of organizational behavior can only be effected through the concerted efforts of top- and middle-management. That this is so is literally a truism; what is often overlooked especially in the educational context, is the degree of involvement and commitment to planned change required on the part of the chief school officer or superintendent as well as those individuals who are directly responsible and accountable to him. Leadership by example may seem to be a simplistic approach to organizational

development and change, but how else can we avoid evoking the age-old retort: "We can't hear what you are saying because what you do is so loud!"

The basic premise is that change in organizational behavior can be effected only through the active and direct participation of the superintendent or chief school officer. A corollary premise is that the individuals directly responsible and accountable to the superintendent or CSO must also be directly and actively involved. Desired changes, then, become a function of the concerted, reinforced decisions and implementing activities of the total leadership--and management--of the educational agency.

Expectations of the Project

With the perspective described in the preceding pages, this project focused upon two major objectives:

1. To determine the feasibility of developing and applying particular learning methods and modified contents of AMA's management development programs, which would be considered effective for training various levels of educational administrators.
2. To introduce and experimentally conduct these educational programs for representative multi-state, multi-level groups of educational administrators over a period of one year.[1]

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[1]American Management Association, "Feasibility and Pilot Programs Proposal: Adapting and Testing Business Management Development Programs for Educational Administrators." (Mimeograph), June 22, 1970, p. 4.

The Proposal also explicitly addressed the criteria upon which the project would be evaluated, and these criteria were accepted by the United States Office of Education.

> "To determine if program objectives have been achieved, the participating educational agencies will demonstrate to an independent team of reviewers that they have accomplished the following:
>
> "1.) Agreed upon a definition of the institution's mission;
>
> "2.) established continuing objectives and planning procedures for long-range achievement of the institution's mission;
>
> "3.) identified resources and constraints;
>
> "4.) differentiated between where the institution <u>is</u> going and where it <u>wants</u> to go;
>
> "5.) modified previously established objectives;
>
> "6.) identified and analyzed alternative course of action;
>
> "7.) determined priorities;
>
> "8.) made strategic action assignments;
>
> "9.) defined standards of performance for key administrators;
>
> "10.) specified task completion dates;
>
> "11.) designed supplementary planning efforts;
>
> "12.) assigned responsibilities to subordinate units;
>
> "13.) designed a methodology by which future performance may be evaluated in relation to the performances specified in the plan;
>
> "14.) produced and are implementing a long-range strategic plan."[2]

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[2] <u>Ibid.</u>, pp. 4-5

In pedagogical terms, these criteria are in the effective domain, as distinguished from the cognitive domain. The behaviors to be changed, developed, or enhanced involve the management functions of planning, organization and direction. Essentially, the question posed is: Can we (the AMA) effectively modify and apply a program which would improve the decision-making process of educational administrators.

The program, referred to as the Team Planning Process,[3] had been successfully utilized by many business and industrial organizations in order to create meaningful strategic plans which were subsequently implemented. To fully appreciate the thrust of this program, it is critical to understand that the management teams experiencing the program make decisions about their own on-going organization. There are no simulations, no case-studies, no "think-tank-like" brainstorming; just hard decisions about the needs, problems and opportunities which can be identified.

It should be concluded, therefore, that the criteria were based upon the expectation that educational managers would acquire decision-making skills and successfully apply them to their own educational agencies. A second, although not so obvious conclusion, is that the training aspects of the Team Planning Process--in the cognitive domain--were definitely of secondary importance. That they were necessarily precedent is certainly to the point, especially

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[3] The Team Planning Process is described in Chapter I as the Educational Strategic Planning Process.

from the theoretical viewpoint; but these would be reinforced by actual application: by making decisions; by creating a strategic plan; by identifying resources, etc.

CHAPTER II

PROCEDURES

To state that organizations can alter behavior only to the extent that the behavior of the individuals who comprise the organization is altered is axiomatic. The objectives of the project could be achieved only to the extent that individual educational managers modified their concept of management and applied appropriate management behaviors to the problems of their educational agencies.

Two AMA programs were selected to be modified and conducted: the Management Briefing and the Strategic Team Planning Process. The former program was preceded by the participation of the Chief State School Officer in AMA's Management Course for Presidents. A Top Management Briefing was provided for those state agency administrators responsible for major policy decisions and operation of the agency.

The following sections will describe the elements of the two programs, the modifications made, and the manner in which these were conducted.

The Management Briefing

The Management Briefing is designed to help top-level managers develop professional management skill and competence. It is the direct result of expressed needs of organizations for off-the-job training, and it is geared to help the manager cope with the changing structure of society and organizational development.

The Evaluation Report, Appendix J, examines in detail the outlines and content of the Management Course for Presidents and the Top Management Briefing.[4]

In the material which follows, these two programs will be referred to as "Briefings."

The thrust of the Briefings is toward the development of the individual. The primary instructional technique employed is the lecture: a presentation by a skilled practioner of the management process with extensive discussion. Following the more formal presentation there is opportunity for an interchange of ideas, concepts, and applications between the speaker and the participants.

The content of the Briefing program proceeds from the general to the specific. The first speaker addresses himself to the nature of management processes and establishes basic definitions of the management processes to be examined subsequently in greater detail. The objective of the opening speaker, therefore, is to provide the participant with a broad overview of management processes and their interrelationships in the implementation process.

Succeeding speakers address specific subject areas such as objectives and planning, organization, climate, appraisal, and leadership. Each speaker's objectives are to provide the participants with specific knowledge of a particular aspect of management

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[4] Frank Marini, "Evaluation for Center for Planning and Development of the American Management Association," Evaluation Report, Project No. 0-0793, Grant No. OEG-0-70-50-5073, October 1971, pp. 5, ff. See also Appendix L of this final report.

and an understanding of the techniques for its implementation.

Ultimately, each participant should understand the unity of the various aspects of management; how decisions in planning affect decisions in organization; how decisions in the organization of the institution affect leadership, and so forth. Each individual is encouraged throughout the Briefing to apply the concepts and techniques presented to his own particular circumstances and to challenge the implications for implementation. The total learning experience should result in an educational manager who can return to his home institution and review his leadership style in light of what he has learned. A person's leadership style is frequently constrained by his concept of leadership. The Briefing attempts to broaden and refine that concept for the participant. To the extent that others in the institution have shared the individual's training experience, there should be mutual reinforcement. This is a sufficient condition, not a necessary one, in order to realize the benefits of the training/learning experiences.

In the particular case of this research project, it was assumed that the majority of educational managers who would participate in the programs would have had limited training in specific management skills and techniques. As a result of the training/learning experience, some impact is anticipated from at least two perspectives: on the effectiveness with which the individual fulfills his own particular responsibilities; and on the contribution modified individual effectiveness makes to the efficacy of the institution in fulfilling its responsibilities.

The critical factor is the degree to which the training/learning experience represents a change in accepted or traditional practices and procedures. To the extent that the modified behavior does not encompass too severe a departure from the extant mode of behavior, assimilation proceeds smoothly and the individual finds encouragement forthcoming from his peer group and from his superior. When the modified behavior entails a marked divergence from the traditional mode of behavior, the reinforcement from peers and superiors is generally lacking. The very real danger, verified by AMA's experience in the corporate world, is that in such situations the individual may ultimately abandon the modified behavior and return to the safe, comfortable, acceptable behavior extant in the institution.

The application of the AMA Top Management Briefings was changed, accordingly, in order to effect modifications in behavior in an entire group of top-level educational managers. By simultaneously training the executive staffs of the SEA's and LEA's involved, the odds for substantial reinforcement of modified behavior would be optimized. A by-product of this approach would be that staff personnel in a subordinate relationship to the executive staff would also be subject to modified behaviors on an institutional basis, rather than exclusively on a bureau or division basis.

The instructional materials used in the Briefings were completely revised. In their application to the business/industrial manager, the Briefings utilized illustrative materials originating in--and reflecting the characteristic terminology--of the business world.

An extensive literature search was conducted, with the objective of identifying material emanating from the educational or non-profit sectors which would be illustrative of the application of proven management concepts and techniques. The result was an entirely new set of materials whose focus was on the educational process and its management.

The Team Planning Process

The team approach to the resolution of organizational development problems was developed in response to a demonstrated need for a means to implement changes in management techniques in a viable, on-going organization or institution. The recurring questions in the development of organizations have been:

1. How is the understanding and commitment essential for the implementation of critical decisions to be achieved?
2. How are individuals to be appropriately involved in analyzing organizational problems and in creating solutions--making decisions--to those problems?
3. How can participation and consultation between and among top level managers be meaningful effected?

AMA's response to these critical questions was the development of the "team process."[5] A basic assumption underlying the team process is that the chief executive officer of the organization--be

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[5]For a detailed description of the Team Planning Process, the reader is referred to Appendix K.

he president, or chairman--is committed to a mode of management which is not authoritarian; that genuine participation and consultation in the decision-making process on the part of subordinates is essential to the ultimate effectiveness of the organization or institution.

AMA's experience in working with educational institutions further indicated that a major management problem was in the area of planning. Planning entails decisions about the direction and degree of change and organization wishes to effect, and the means to be implemented in order to effect change. It is a critical management function, and one to which substantial proportions of managerial resources must be devoted.

In the educational context, the Team Planning Process involves detaching the chief school officer and his top managers from their daily routines to enable them to concentrate on developing their planning capabilities. The team is placed in an environment which is conducive to the intensive study and solution to the institution's planning problems. Skilled guidance and controlled-direction is provided throughout the planning process so that the team not only acquires planning skills but produces a workable long-range educational plan for the institution and the commitment of the team to bring the plan to fruition.

The first step in the planning process is consultation between the chief school officer and a planning director from AMA's Center for Planning and Development in Hamilton, New York. At this "pre-process" meeting, the chief school officer identifies the make-up

of the top-management team which will be involved in the actual planning.[6] The director outlines the content and purposes of the planning process, reviews the institution's previous experience in planning and outlines the requirements for pertinent background data. Some preliminary work assignments may be made in order to facilitate progress during the first week's meetings.

The team planning process itself is conducted over a two-week period, with an intersession of from one to six months between the two weeks. The reader is referred to Appendix J for a schematic presentation and description of the process.[7]

Upon the conclusion of the two-week educational planning process, the planning team will have developed an implementable plan. The problems considered and solutions decided upon are the real, every-day problems facing the educational managers on the planning team. The process is <u>not</u> a simulation, nor does it utilize a "case-study" approach to resolving questions of organizational development.

The objectives cited in Chapter I are achieved in the organizational context of the institution represented by the members of the planning team. The outcome is one which enjoys top management involvement and commitment. The odds for successful implementation and improved organizational effectiveness are optimized, and as a consequence the effectiveness of the target group in meeting the needs of children in enhanced.

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[6]See Appendix A for a roster of participants in the various activities, dates of the activities, and identification of the programs.

[7]Marini, Op. cit., pp. 10, ff.

Sequence of the Programs

Although planning is--and should be--a management function undertaken at all levels of any organization, implementation of new planning procedures must enjoy the leadership and commitment which can only be exercised by top management staff. In addition, it is top management's responsibility to identify and determine the critical objectives to which the organization is dedicated, and the basic policies which will guide the organization in the achievement of those objectives. For these reasons, effective implementation should begin with top management; it then becomes a responsibility of top management to ensure dissemination and implementation at all other organizational levels.

The application of this logic to the SEA's entailed a sequential involvement of various management levels in the team planning process. The first management team encompassed the executive staff people, and the second management team encompassed those management personnel involved with the delivery of educational services to LEA's. In the Briefings, on the other hand, one meeting was held for all participating SEA personnel (in each State) and one meeting was held for all LEA personnel.

Another factor influencing the sequencing of activities was the relationship between SEA and LEA. Generally, the LEA's in the participating states enjoy a substantial degree of autonomy from the SEA's. The relationship which exists is certainly not to be described as superior-subordinate; the SEA's depict their roles as supportive, i.e., the provision of service to LEA's. The LEA's

concur in this perception.

Despite this parallelism, it was anticipated that the SEA's role in the Statewide education processes would support the assumption that leadership was exercised. Accordingly, the SEA management teams undertook the team planning processes in advance of the LEA's. The advantage to the LEA's of this sequence was that they would be in a position to incorporate Statewide objectives and strategies, into the planning for their own districts.

Education Agencies Participating

The programs described above were to be conducted for a state education agency, the SEA organizational unit responsible for direct educational services to local education agencies, and two separate local education agencies within the state. The criterion for selection of the LEA's was demographic: one urban-suburban LEA, and one suburban-rural LEA.

Education agencies from two states were selected for participation in the project: Maryland and North Carolina. The Executive Staff of the Maryland State Department of Education (henceforth identified as the MSDE or Experimental State #2) and the Bureau of Educational Programs were the two management teams from the MSDE. Figure 1 and Figure 2 depict the organizational relationships of these two groups.

As indicated by a comparison of Figures 1 and 2, six of the members of the Executive Staff management team were also members

FIGURE 1

Maryland State Department of Education

Organizational Members of Executive Staff

September, 1970

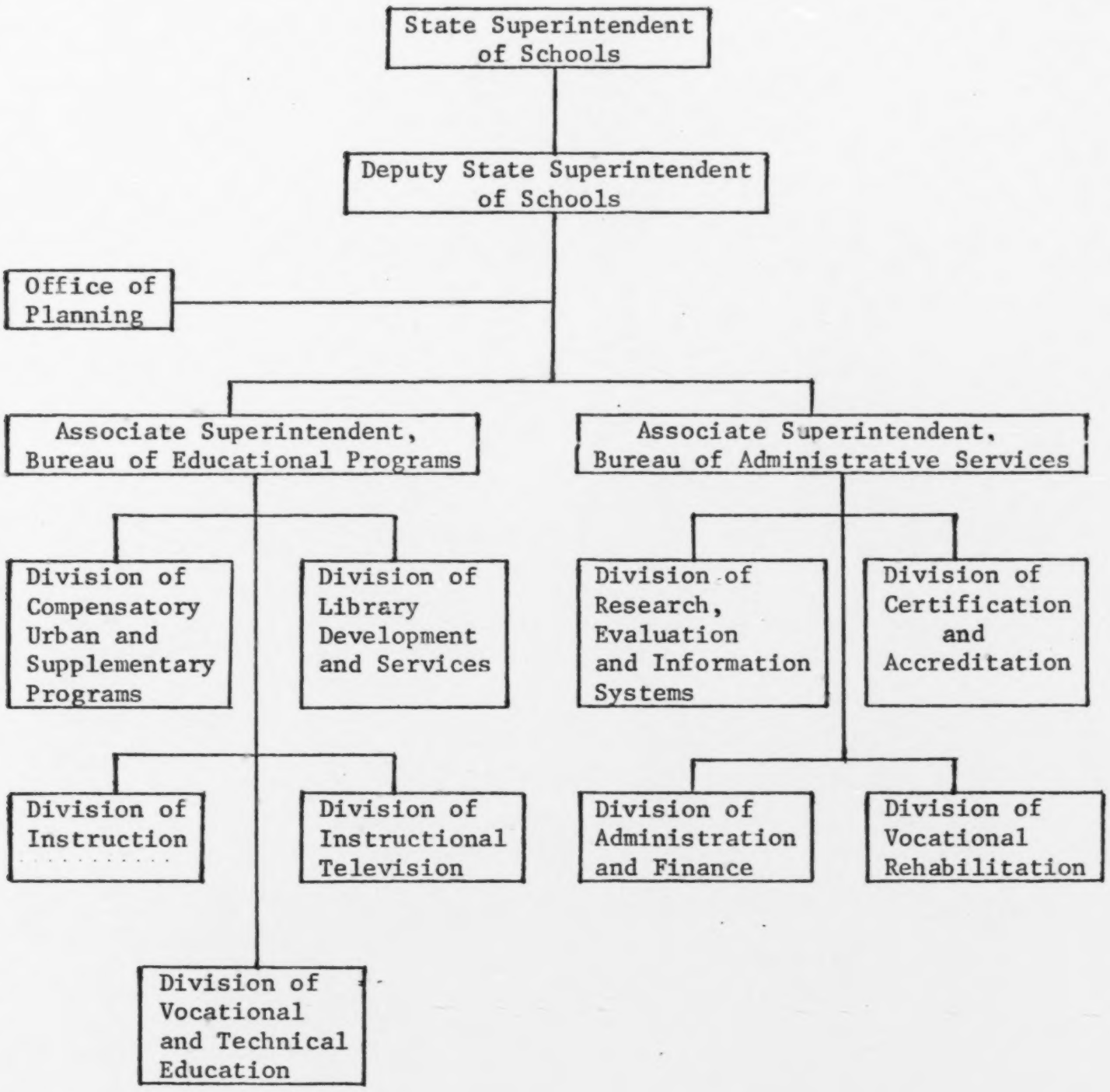
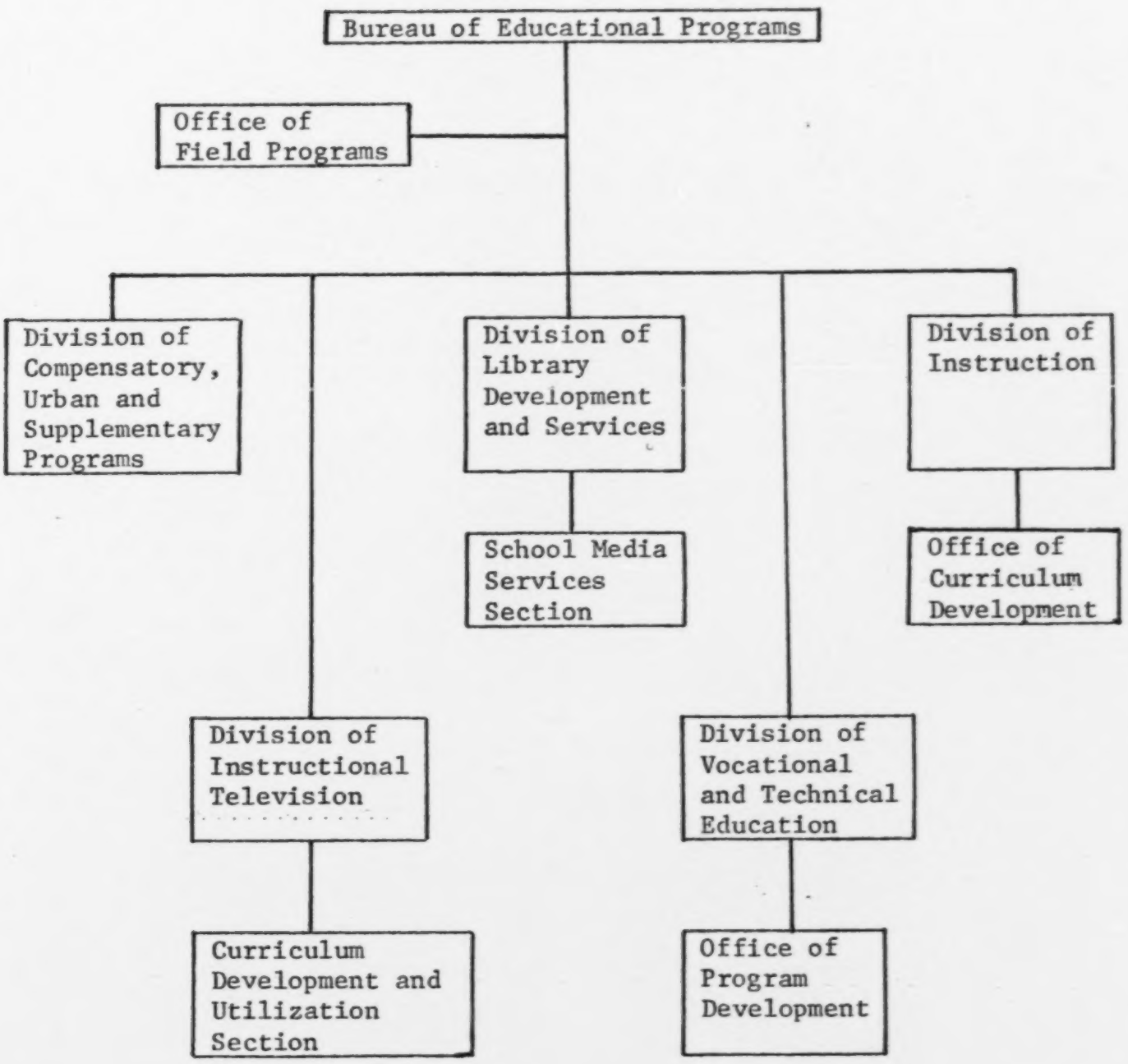

State Superintendent of Schools
Deputy State Superintendent of Schools
Office of Planning
Associate Superintendent, Bureau of Educational Programs
Associate Superintendent, Bureau of Administrative Services
Division of Compensatory Urban and Supplementary Programs
Division of Library Development and Services
Division of Research, Evaluation and Information Systems
Division of Certification and Accreditation
Division of Instruction
Division of Instructional Television
Division of Administration and Finance
Division of Vocational Rehabilitation
Division of Vocational and Technical Education

FIGURE 2

Maryland State Department of Education

Organizational Members of the Bureau of Educational

Programs Taking Part in Planning Process


Bureau of Educational Programs
Office of Field Programs
Division of Compensatory, Urban and Supplementary Programs
Division of Library Development and Services
School Media Services Section
Division of Instruction
Office of Curriculum Development
Division of Instructional Television
Curriculum Development and Utilization Section
Division of Vocational and Technical Education
Office of Program Development

of the management team of the Bureau of Educational Programs. These six managers were the Associate Superintendent and the Division Directors of the Bureau of Educational Programs. Because of this substantial overlap in personnel, a decision was made to modify the normal sequence of two weeks in the Team Planning Process for each management team. The Executive Staff team undertook a total of three weeks of intensive planning effort, with appropriate inter-session periods between each week. The Bureau of Educational Programs team undertook only one week of intensive planning.

The management teams from the two LEA's in Maryland included Central Office staff and building principals. The LEA's were Harford County Public Schools and Prince Georges County Public Schools.

Figures 3 and 4 depict the organizational structure of the two management teams from the North Carolina State Department of Public Instruction (henceforth identified as the NCSDPI, or Experimental State #1). The LEA's were Cabarrus County School District and Laurinburg-Scotland School District.

Appendix A presents a listing of the individual participants, as well as the program in which they were involved.

Evaluation of the Project

The proposal provided for evaluation by an independent, third party. The agency selected for this was the Maxwell School of Citizenship and Public Administration at Syracuse University. Their evaluation report is incorporated herein as Appendix J.

FIGURE 3

North Carolina State Department of Public Instruction

Organizational Members of Executive Staff

Taking Part in Planning Process

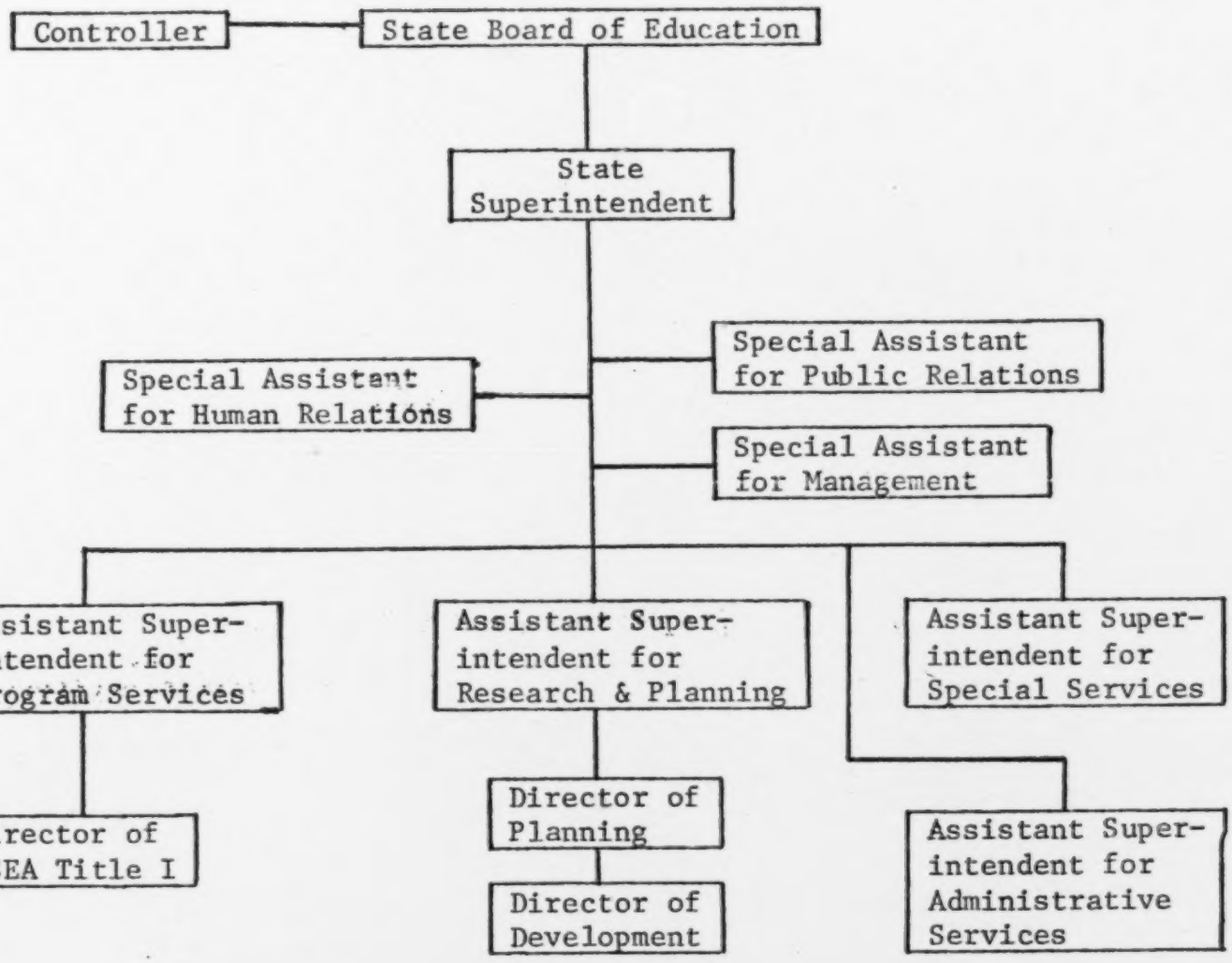
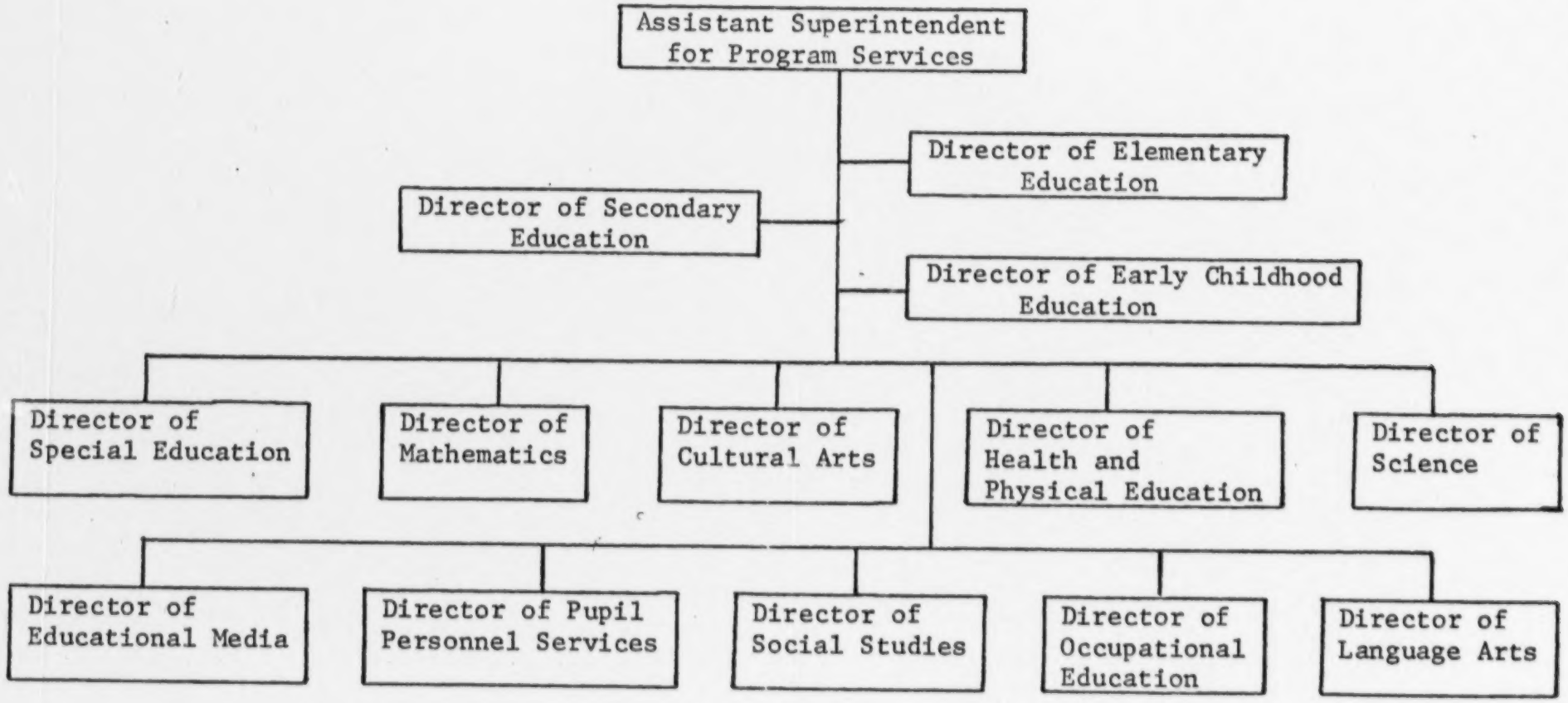

Controller
State Board of Education
State Superintendent
Special Assistant for Human Relations
Special Assistant for Public Relations
Special Assistant for Management
Assistant Superintendent for Program Services
Assistant Superintendent for Research & Planning
Assistant Superintendent for Special Services
Director of ESEA Title I
Director of Planning
Director of Development
Assistant Superintendent for Administrative Services

FIGURE 4

North Carolina State Department of Public Instruction

Organizational Members of Bureau of Program Services

Taking Part in Planning Process


Assistant Superintendent for Program Services
Director of Elementary Education
Director of Secondary Education
Director of Early Childhood Education
Director of Special Education
Director of Mathematics
Director of Cultural Arts
Director of Health and Physical Education
Director of Science
Director of Educational Media
Director of Pupil Personnel Services
Director of Social Studies
Director of Occupational Education
Director of Language Arts

The proposal stated that the evaluators would measure the results of the pilot programs as teaching/learning methodologies to introduce planning as a basic management tool into educational systems. The achievement of the objectives in Chapter I would be evaluated, as well as the effectiveness of the planning process as an educational device.[8]

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[8] AMA proposal, op. cit., p. 12.

CHAPTER III

RESULTS

In order to determine the results of this feasibility and pilot program, it is necessary to examine the extent to which the participating educational administrators resolved their management problems. These problems were identified on pages 3 and 4 of the proposal, described in an earlier section of this report, and are reviewed below:

1. The general absence of an explicit decision-making process for effective planning and organization;
2. The absence of clearly defined roles for the administrators and the resultant diffusion of responsibility, authority and accountability;
3. Failure to implement tested pedagogical methodology;
4. The absence of integrated organization planning and a confusion between ends and means;
5. The absence of operationally useful educational objectives.

The response to these problems took the form of the two basic objectives of the proposal:

1. To determine the feasibility of developing and applying particular learning methods and modified contents of AMA's management development programs which would be considered effective for training various levels of educational administrators;

2. To introduce and experimentally conduct these educational programs for representative multi-state, multi-level groups of educational administrators over a period of one year.

Findings

At the outset, it was assumed that a least two of AMA's management development programs could be modified and would be effective in training various levels of educational managers. This assumption was based on AMA's experience in conducting the Team Planning Process for several institutions of higher education. Although the Top Management Briefings had not been previously conducted for educational groups specifically, participation in those programs by individuals from education and other non-business, non-industrial institutions indicated that the program would be effective.

The first step taken, therefore, was to modify the pedogogical materials and methodology so that these would be familiar and effective with educational administrators. For example, an extensive literature search was undertaken to identify and collect materials which reflected the state of the art of management in public education: theoretical and conceptual papers on management functions, actual planning documents from educational institutions, and materials which addressed the question of "how to accomplish the management functions in an educational institution setting." This search, although not especially fruitful in the areas of conceptualization, did result in a collection of materials which were illustrative of current management practice.

The effective use of these materials in the conduct of the modified programs can only be judged in relation to the effectiveness with which the participating educational administrators resolved the problems identified above. In terms of modification alone, however, this part of the objective was in fact accomplished prior to conducting any of the programs. The question of effectiveness is to be examined below.

The second major objective, the introduction and conduct of the programs over a one-year period, was in fact accomplished. The first program was begun on September 14, 1970, and the last program was completed on June 25, 1971, well within the twelve-month period. Thus the two major objectives of the project were accomplished.

The sequence of the two program was a crucial factor. In phase one, the educational administrators participated in Top Management Briefings. As a result, a base of common understanding of management concepts, techniques, and their application were acquired by the participants.

In phase 2, specific management teams participated in the Team Planning Process. During this two-week program they had an opportunity to utilize the knowledge and skills acquired in the phase one program, and further developed their knowledge of planning techniques and skill by actually developing a plan for their organizational unit. The emphasis was upon actual decision-making, and the products of the Team Planning Processes were real plans which were capable of being implemented upon completion. In effect, learning was to be accomplished through doing.

Utilizing this sequence, the effectiveness of the two programs could be assessed in terms of the output of the phase 2 program, i.e., the Team Planning Process. On pages 4 and 5 of the proposal, a set of specific outcomes was identified. The effectiveness of the project was to be evaluated on the basis of ". . . . to what degree they (the educational administrators) have arrived at the following (outcomes)." The documents incorporated as part of this report in Appendices B through I represent the plans of each of the educational management teams which participated in the project. Each plan is the result of decisions concerning purpose, direction, etc. of the organization. These decisions concerned each of the specific outcomes identified in the proposal and discussed in an earlier section of this report.

The comprehensiveness and subsequent implementation of the plans varied with each of the management teams. The critical variables influencing these were the position of the organizational team in the educational hierarchy, and the relative extent to which the decisions made represented general understanding, consensus and commitment. It is apparent that implementation can only be observed as there is a time lapse. All the decisions for direction and implementation were futuristic, i.e., they were concerned with implementation and achievement in the future. It should not be overlooked that some of those "futures" were in terms of the day or week following the completion of the Team Planning Process.

Independent Evaluation

Appendix J represents the final report of the independent

evaluation of the project. This evaluation was undertaken by the Maxwell School of Citizenship and Public Affairs of Syracuse University, under the direction of Dr. Frank Marini.

The evaluation starts off with a substantial caveat: ". . . an evaluation of the events and changes during the training year is in many ways not as good an indicator of AMA's impact or the value received in the States as a study of what happens . . . after training is completed." According to Dr. Marini, this report is ". . . premature or preliminary." (Remarks contained in Letter of Transmittal, 10/1/71.) There is recognition that the full impact of the effectiveness of the programs can be assessed only after some substantial passage of time.

The chapter titled "Research Methods" explores extensively the questions of "what is to be evaluated" and "how", but does not address the issue of "when." This was possibly due to the existance of a second year program of evaluation (see USOE Grant # OEG-0-70-5073, "Second Year Evaluation of USOE/AMA Pilot Program: Adapting and Testing Business Management Development Programs for Educational Administrators."

One final comment seems to be appropriate concerning the Evaluation Report. The Plans (documents in Appendices B through I) are organizational output reflecting the decisions made by the participating educational managers. The Evaluation Report does not treat the organizational output of the management teams as viable documents:

> "It was not assumed . . . that significant effects would be present in the area of organizational output . . . There are a set of documents which were produced by each state as they undertook the 'Educational Planning Process' . . . However, these documents, in our opinion, represent intentions, not necessarily processes and policies which have had the opportunity to be implemented and affect organizational output."[9]

This treatment of the planning documents reflects a critical lack of understanding of the Team Planning Process: a failure to appreciate the decision-making imperatives operating, and a consequent emphasis on the training function only. The documents--despite their shortcomings and imperfections--do in fact represent effects of the programs.

Conclusions

The larger question which must be addressed is simply "what happened as a result of the AMA programs?" A description of the specific outcomes previously referred to would only be an enumeration of the many micro-decisions which, when taken together, constitute the responses of the participating educational managers to the management problems identified at the outset. And therein lies one of the most important effects of the programs.

The traditionally accepted role of the "administrator" in the educational hierarchy has been to tend to the logistic details which support, but do not materially enhance educational processes. This role has been essentially a static one, directed principally toward maintaining the status-quo. Management, by way of contrast, has been

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[9]Marini, Op. cit., page 40

concerned with leadership and the direction of change. Educational managers are neither educators--in the sense of directly teaching youngsters--nor administrators. As a result of this project, there has been a subtle but significant change on the part of the participants: they perceive themselves as managers in the dynamic sense of providers of leadership for desired change in educational processes.

Stemming from this altered perception, there was a significant definition of the role of the two state education agencies--one is almost tempted to say redefinition. Stated simply, the SEA's had previously defined their roles to be that of regulation and implementation of legislative policy; they have shifted their focus to the changes expected in their clients--i.e., students of the public schools.

There has long been frustration with the apparent gap between emphasis or desired outcomes for students and the implementation of appropriate strategies to reach those outcomes. Repeatedly, there has seemed to be a breakdown between the wanting and the accomplishing. The project has resulted in an understanding by the participants of the conditions which must exist in order to make public education accountable to its various publics and constituencies as evidenced by plans to accomplish these ends which are being implemented.

Plans which fall short of examining all three of the basic questions--i.e., (1) where are we? (2) where do we want to go? and (3) how do we get there--are not plans at all.

Organization structures which exist as a result of tradition

and past practice do not necessarily facilitate the achievement of results desired today and tomorrow. Effective organizations can be so only if clear relationships exist between the work to be done and the division of that work among the individuals in the group. Each organizational entity that was involved in the project reorganized during the project to more adequately deploy resources to achieve their objectives.

Meaningful participation in decision-making processes means much more than service on a plethora of committees. In order to engender understanding and commitment, individuals must have some role in making the decisions for which they bear implementation responsibilities. More than half of all participants have performance standards that clearly describe the results for which they are responsible.

Another major result was that the participants have grasped the critical role which operationally useful objectives fulfill. Such objectives make possible effective organization, continuing operational control, and--most importantly--the personal self-control which enhances the personal contributions and accomplishments of individuals. Measurable objectives are being used for all major programs in all agencies participating in the project. In every case these objectives were revised during the project. Each agency has a plan for extending objectives to all facets of their programs.

Finally, there is the sometimes painful but critical appreciation of the necessity to allocate resources to accomplish the

management functions. It requires time and energy to successfully develop plans which have any expectation for implementation. It takes time to develop meaningful position descriptions and standards of performance for all managers in the system. It takes time, the time of personnel which cannot be allocated to other responsibilities. Each agency has significantly increased its commitment to professional management.

CHAPTER IV

RECOMMENDATIONS

Decision-making

An important assumption underlying AMA's approach to the Team Planning Process was that a viable decision-making process existed within each of the participating educational agencies. That this was not the case was one of the more painful realizations. The focus of the Team Planning Process is decision-making; obviously the lack of a recognized viable process impedes the effectiveness of any planning process.

Our recommendation is that top management must address this question at least concurrently with planning, but preferably in advance of any intensive planning process. Extensive development work is needed to produce a viable system for accelerating the evolution of decision-making processes in educational organizations.

Role Definition

Although position descriptions are generally available in educational agencies, the purpose for their existence is salary administration. This is in contrast to their use as instruments for delineating flows of responsibility, authority and accountability. As a consequence, it was necessary to devote a disproportionate amount of time to revision and refinement of existing position descriptions.

Our recommendation is that workshops for development of meaningful position descriptions should be programmed to take place during

the intersession periods. In this time sequence, participants would have the benefit of the "planning base" developed during the first week of the team planning process, and they would be able to view their organizational structure in the perspective of the planning base.

The Time Factor

Due to the constraint imposed by the twelve-month period, it was impossible to provide an intersession period of adequate duration. The sequencing of activities was premised upon the conviction that maximum benefits would accrue if the planning processes commenced with the executive staffs of the State Education Agencies. It is true that the local education agencies are autonomous agencies; their planning efforts, however, should have benefited by virtue of having access to the State Agency plans.

The result was an average intersession between the two one-week team planning sessions of from four to five weeks. This proved to be completely inadequate; insufficient time was available to complete assignments: collection of pupil achievement data, staff orientation, feedback from staff, refinement of objectives, etc.

Our recommendation is that in projects involving a similar number of education agencies, the period of the program should be extended by at least six months, but preferably twelve months. The only alternative would be to arrange for simultaneous programs to be held for each agency, and this would result in losing the benefits of statewide, integrated plans.

Training vs. Doing

One intangible factor which had an adverse impact was the perception of many people involved in the project in different ways was that the project was essentially a training effort. In the context of the planning process, this attitude frequently prevented participants from considering that the decisions being made were hard and fast. At times, decisions were clearly labelled "tentative" or "simulated" by the participants. The net result is that in some areas (e.g., objectives and strategies) decisions could not be made because there were gaps in the structure being built.

Our recommendation is that the orientation period preceding the team planning processes be designed to reinforce the "real-time", "on-line" nature of the processes. This must be a joint effort; AMA and the leadership of the educational agencies and the funding agency.

Dissemination

To enable a large number of educational agencies to benefit from intensive management training, it is recommended that each State Educational Agency develop the capability of providing management training for all local educational agencies in the respective states. The procedures used by the SEA would be patterned from the procedures described in this report. To ensure the success of such a program, considerable training of key SEA staff members in management techniques would be necessary.

It is further recommended that the United States Office of Education use its leadership role to provide each LEA and SEA with the best quality of management possible. The results of this research project clearly indicate a viable alternative strategy in achieving this long-range goal.